

ET42077747US #3
Pr. O- Art
I. M c b e f h b e
10/18/01

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: : Group Art Unit:
Calderaro, et. al. : Intellectual Property Law Department
Serial No.: : International Business
Filed: : Machines Corporation
Title: System and Method for : 11400 Burnet Road
Organizational Risk Based On : Austin, Texas 78758
Personnel Planning Factors :

J1036 U.S. PTO
09/895977
06/29/01

INFORMATION DISCLOSURE STATEMENT

The Assistant Commissioner of Patents
Washington, D.C. 20231

Sir:

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR § 1.56.

While this Information Disclosure Statement may be "material" pursuant to 37 CFR § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 CFR § 1.97(g) the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR § 1.56 (a) exists.

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 CFR § 1.98 (a)(1).

A copy of each of the items on PTO-1449 is supplied herewith.

Respectfully submitted,

By Joseph T. Van Leeuwen
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In Place of FORM PTO-1449 (Modified)

Serial No. _____

Applicant: Calderaro, et. al.

Filing Date: _____

Group: _____

Atty. Docket No. AUS9-2001-0235-US1

**LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCL
OSURE
STATEMENT**

J1036 U.S. PTO
09/095977



U. S. PATENT DOCUMENTS

| <u>Examiner Initial</u> | <u>Document Number</u> | <u>Date</u> | <u>Name</u> | <u>Class</u> | <u>Subclass</u> | <u>Filing Date if Appropriate</u> |
|-----------------------------|----------------------------|-------------|-------------|--------------|-----------------|---------------------------------------|
| _____ | AA | | | | | |
| _____ | AB | | | | | |
| _____ | AC | | | | | |
| _____ | AD | | | | | |
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| _____ | AI | | | | | |
| _____ | AJ | | | | | |
| _____ | AK | | | | | |
| _____ | AL | | | | | |

FOREIGN PATENT DOCUMENTS

| <u>Examiner Initial</u> | <u>Document Number</u> | <u>Date</u> | <u>Country</u> | <u>Class</u> | <u>Subclass</u> | <u>Translation Yes No</u> |
|-----------------------------|----------------------------|-------------|----------------|--------------|-----------------|-------------------------------|
| _____ | AM | | | | | |
| _____ | AN | | | | | |
| _____ | AO | | | | | |
| _____ | AP | | | | | |

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

| <u>Examiner Initial</u> | |
|-----------------------------|---|
| _____ | AQ Performaworks Solution (Internet Web site, 5 pages) |
| _____ | AR Visual Business Tools, "Personnel Director" (Internet Web site, 3 pages) |
| _____ | AS People Soft, "Human Resources Management" (Internet Web site, 3 pages) |
| _____ | AT |
| _____ | AU |

Examiner: _____

Date Considered: _____

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.